

The attached report, “A Strategy for Collaborative Emergency Response Planning in California’s Delta Region – Phase 1 Report”, was released on June 25, 2008. The report is an outcome of a 6 month effort involving interviews of people with organizations such as the five county offices of emergency services, reclamation district and fire district representatives, and state and federal agencies with emergency preparedness and response authority in the Delta. A cross section of Delta emergency plans from local, state and federal levels was also reviewed. It represents Phase 1 of a three phase process to collaboratively prepare a coordinated regional framework for all emergency plans in the Delta to attain the objective of having all aspects – to include societal needs and flood fighting- of emergency preparedness and response, addressed without gaps, overlaps or conflicts among agencies. Funding will be needed to proceed to Phase 2 which involves in-depth interviews of all emergency responders, reviews and analysis of all emergency plans, and analysis of possible gaps, overlaps and conflicts among plans. Phase 3 is the preparation of the regional emergency planning framework which is intended to resolve the gaps, overlaps and conflicts. In Phases 2 and 3 public involvement will be incorporated into the planning process.

A STRATEGY FOR COLLABORATIVE EMERGENCY RESPONSE PLANNING IN CALIFORNIA'S DELTA REGION

PHASE I REPORT

June 25, 2008

Prepared for:
Delta Protection Commission
Governor's Office of Emergency Services

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TO: All Interested Parties

FROM: Dave Ceppos, Delta Programs Manager
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SUBJECT: "A Strategy for Collaborative Emergency Response Planning in California's
Delta Region – Phase I Report"

We are pleased to transmit the document "A Strategy for Collaborative Emergency Response Planning in California's Delta Region – Phase I Report." This report is the first step in a collaborative process sponsored by the Delta Protection Commission (DPC) working with the Governor's Office of Emergency Services (OES) and the California State University Sacramento (CSUS) Center for Collaborative Policy (CCP). The goal of the DPC-sponsored effort is to create a comprehensive strategic framework for the Delta region that builds upon and coordinates existing emergency plans and planning efforts of involved agencies and organizations. DPC is involved in the subject of delta-wide emergency planning because the Delta Protection Act, the DPC's legislatively required Management Plan for the Primary Zone of the Delta, and DPC's Strategic Plan, all lay the foundation for the initiation of regional collaboration to ensure public safety in the Delta.

As a program of California State University, Sacramento, the mission of the Center for Collaborative Policy is to build the capacity of public agencies, stakeholder groups, and the public to use collaborative strategies to improve policy outcomes. CCP's charge for this project was to assist DPC and OES with project planning and organizational design towards the creation of a Delta-wide emergency response strategy. Initial interviews were conducted with selected stakeholders; current planning efforts and emergency planning processes were reviewed; and a sample of emergency plans was reviewed for commonalities, gaps and overlaps. Based on those activities, the attached report proposes a preliminary road map for proceeding with regional emergency planning in the Delta that includes a broad-based stakeholder assessment and an overarching strategy to identify gaps in emergency planning; develop an approach to resolving those gaps; and tie the resolution of those planning gaps together in a regional framework.

Distribution of this report concludes the first phase of this project. While initiation of future phases of this project is contingent on funding, collaboration with key stakeholders will continue as funding options are explored. CCP can make project background information and the initial interview questionnaire available to anyone who is interested.

Please feel free to contact the CCP project staff listed below, DPC (Linda Fiack, Executive Director, 916.776.2292) or me if you have any questions about the report or next steps for this project.

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EXECUTIVE SUMMARY

The Sacramento and San Joaquin River Delta is a complex region at risk from a variety of emergencies. The Delta Protection Commission (DPC), working with the Governor's Office of Emergency Services (OES) and the California State University Sacramento (CSUS) Center for Collaborative Policy (CCP) initiated a planning process that includes five county offices of emergency services (Contra Costa, Sacramento, San Joaquin, Solano, and Yolo), OES, the Department of Water Resources (DWR), the U.S. Army Corps of Engineers (USACE) and many other local, state and federal agencies.

In recognition of the many challenges facing the Delta, Governor Arnold Schwarzenegger issued Executive Order S-17-06 initiating Delta Vision and establishing an independent Blue Ribbon Task Force. Among the Task Force's charges is the responsibility to implement a strategic plan by October 31, 2008 to include findings and recommendations for Delta-Suisun preparedness and emergency response plans for near-term catastrophic events.

The goal of this DPC sponsored effort is to create a comprehensive emergency response strategic framework for the Delta region that leverages and coordinates existing plans and planning efforts of the involved agencies. To reach that goal, the overarching strategy is to identify gaps in emergency planning; develop an approach to resolving those gaps; and tie the resolution of those planning gaps together in a regional framework.

This report is a first step towards reaching that goal. The purpose of this report is to determine the need for regional collaboration on Delta emergency planning and to outline a preliminary "road map." In preparing this report, key actions included, among other considerations, a review of current planning efforts; initial interviews with selected stakeholders; and review of sample emergency plans for commonalities, gaps and overlaps. An analysis of this information led to following findings:

- Improved interagency coordination of emergency planning and response is needed.
- Existing emergency planning efforts are underway which support regional planning in the Delta.
- Emergency management organizations are at capacity in relation to their assigned responsibilities and projects.
- Emergency management structures exist as a foundation for Delta-specific planning.
- Delta-specific planning processes and products should coordinate and augment – not duplicate – existing planning efforts or documents.
- Existing emergency management planning processes and guidance can inform a Delta region process and ensure an outcome consistent with standard practices.
- Based on initial discussions with Delta region stakeholders, conditions, in general, are in place to conduct a successful stakeholder process.

- There are numerous potential regional issues to be addressed in the Delta and there must be concurrence on which critical issues are addressed first.

The factors listed above support the need for regional collaboration on Delta emergency planning and for proceeding with the next phase of this planning project: a comprehensive Stakeholder and Organizational Assessment to design a large-scale collaborative approach to be used for Delta emergency planning work.

The following initial draft work plan and timeline for the Delta emergency planning process was developed. It should be noted that specific activities and time frames may change as information is gathered and issues arise in each of the phases and that continuing with Phases II and III are contingent on funding availability.

INITIAL DRAFT WORK PLAN				
Project Phase	Activities	Key Action Steps/Milestones	Anticipated Deliverables	Timeframe
I	Develop Strategy for Collaborative Emergency Response Planning in California’s Delta Region	<ul style="list-style-type: none">• Initial stakeholder abbreviated interviews• Review of sample plans• Identification of current planning efforts and methods	Phase I report identifying need for regional collaboration on Delta emergency planning.	November 2007 – June 2008
II	Develop and complete a comprehensive Stakeholder and Organizational Assessment to design a large-scale collaborative approach to be used for Delta emergency planning work to proceed	<ul style="list-style-type: none">• Identify and interview 25 – 45 key stakeholders• Analyze stakeholder input• Establish strategic stakeholder model for future phases• Establish Planning Team	Phase II report summarizing interviews of Delta emergency responders and proposing design for remainder of the project; creation of Planning Team.	July – December 08
	NOTE: ACTIVITIES AND ACTION STEPS IN THE REMAINDER OF PHASE II AND IN PHASE III ARE DRAFT AND CONTINGENT UPON RESULTS OF THE STAKEHOLDER AND ORGANIZATIONAL ASSESSMENT.			
	Initiate a regional	<ul style="list-style-type: none">• Review and analyze	Work Plan	

	plan development framework for integrating all current efforts by applying coordinated techniques, meetings and stakeholder involvement.	<p>existing emergency plans</p> <ul style="list-style-type: none"> • Identify gaps and overlaps • Identify lessons learned and best practices • Conduct an initial multi-agency tabletop exercise to validate existing and identify new gaps and overlaps • Identify policy issues/functional areas to be addressed in Phase III in an updated work plan • Confirm purpose and scope of planning effort • Develop final work plan for Delta emergency response planning efforts 	defining key project elements and policy and program issues in the Delta.	
III	Develop a fully-integrated regional emergency strategy which will serve as both a coordination tool for current emergency operations as well as the structure for future emergency and homeland security work in the Delta Region.	<ul style="list-style-type: none"> • Regional organizational strategy structure and components agreed upon drawing on results from work in Phase II • Develop strategies to fill gaps and eliminate overlaps in their functional area • Ensure planning consistency and address any cross-cutting issues • Tabletop exercises conducted periodically to test concepts being developed. 	Consensus approved Delta region emergency response strategy	January 2009 – July 2010

Immediate Next Steps

If the process is agreed upon and funded, there are immediate next steps that need to be taken to initiate the project.

Stakeholder Assessment

- Finalize/update questionnaire and comprehensive interviewee list
- Schedule and conduct interviews
- Develop organizational/stakeholder assessment report

Plan Reviews

- Refine Plan Review template, as needed.
- Begin identifying all plans to be reviewed for commonalities, gaps, and overlaps as part of Phase II.

Planning Team

- Establish/affirm team membership and draft charter outlining roles and responsibilities.
- Brief team on overall project and process.
- Request input on next steps for stakeholder and plan review process.

Exercises

- Begin designing a multi-agency exercise to validate existing and identify any new gaps and overlaps.

INTRODUCTION

The Sacramento and San Joaquin River Delta is a complex region – a confluence of cultures, economies, ecosystems, politics, and dependencies. The Delta is also at risk from watershed driven flood events, high-tide with high-wind events, levee failure – “sunny day” failure, earthquakes, and non-flood events such as hazardous materials incidents. Flooding is the most common and damaging natural disaster in California and more than 90 percent of the Delta’s land area is within Federal Emergency Management Agency (FEMA) flood zones.

In recognition of the many challenges facing the Delta, Governor Arnold Schwarzenegger issued Executive Order S-17-06 initiating Delta Vision and establishing an independent Blue Ribbon Task Force. Among the Task Force’s charges is the responsibility to implement a strategic plan by October 31, 2008 to include findings and recommendations for Delta-Suisun preparedness and emergency response plans for near-term catastrophic events.

The Delta Protection Commission (DPC) began working with the Governor’s Office of Emergency Services (OES) and the California State University Sacramento (CSUS) Center for Collaborative Policy (CCP) in the fall of 2007 on a planning process that includes five county Offices of Emergency Services (Contra Costa, Sacramento, San Joaquin, Solano, and Yolo), the Department of Water Resources (DWR), the U.S. Army Corps of Engineers (USACE) and many other state and federal agencies.

The goal of the DPC sponsored effort is to create a comprehensive emergency response strategic framework for the Delta region that leverages and coordinates existing plans and planning efforts of the involved agencies. To reach that goal, the overarching strategy is to identify gaps in emergency planning; develop an approach to resolving those gaps; and tie the resolution of those planning gaps together in a regional framework.

PURPOSE OF REPORT

This report is a first step towards reaching the goal of a comprehensive emergency response strategic framework for the Delta region. Emergency response planning in California is founded on the principle that all disasters are local and that state, federal, and other resources are provided to support local needs. The Delta region is unique in terms of geography, eco-systems, governmental response entities, and the potential impacts to California’s public and private infrastructure. The purpose of this report is to determine the need for regional collaboration on Delta emergency planning and to

outline a preliminary “road map.” To assist in making this judgment, several activities were undertaken, including initial interviews with key stakeholders; creation of an emergency plan review template and review of several emergency plans; and identification of current planning initiatives related to the Delta.

POLICY AND PROGRAM CHALLENGE

There is a potential statewide economic impact from Delta flooding that is currently being addressed by several initiatives intended to strengthen the Delta’s emergency response program. The need for regional emergency response planning and recovery is even more important as precipitation patterns change and sea level rises, as Delta islands’ soils continue to subside, and as urban encroachment puts more people in harms way.

Recent national and regional events have also underscored the need for heightened preparedness to address large-scale emergencies. Delta preparedness requires the combined efforts, partnership, and leadership of many diverse entities at various levels of society and government. Advance coordination is the key to jointly addressing challenging issues in emergency management.

California has a long history of disasters and disaster responses. Because California is familiar with large scale disasters, the state implemented the Standardized Emergency Management System (SEMS) in 1995 to coordinate response in an efficient and comprehensive manner. Subsequently, in 2004, the federal government implemented the National Incident Management System (NIMS). Both systems must be used by state and local entities in emergency response. In the Delta, five county governments, together with state and federal agencies and special districts, have jurisdictional authority for emergency activities. Emergency actions must be coordinated among these entities and their response components using SEMS and NIMS, as well as with non-governmental organizations with emergency responsibilities and the private sector that owns much of the critical infrastructure in the Delta.

Emergency operations plans exist for most entities. Many agencies and organizations in the Delta have already developed exemplary technical flood fighting emergency response planning documents. Other planning efforts have also been developed or are under way. These plans need to be integrated and all aspects of a major emergency event must be considered. Attention must also be given to societal, street-level issues surrounding an emergency response in the Delta, including:

- Regional mass care and shelter
- Large-scale evacuation
- Resource management (including personnel, equipment, and materials)
- Public warning, public information and interoperable communication

- Assisting people with disabilities and the elderly
- Providing care and shelter for pets, service animals, livestock, and other large animals
- Responding to power and utility losses
- Coordinating transportation

The challenge in developing a comprehensive emergency response strategic framework for the Delta region is to ensure that clear expectations for all involved entities are outlined, coordinated, and agreed upon.

CURRENT PLANNING EFFORTS

There are numerous emergency planning efforts currently underway specifically related to the Delta region or that will have an impact in the region. This section describes several of those activities. Figure 1 provides a visual depiction of many interrelated efforts and common societal issues that need to be addressed in the Delta region.

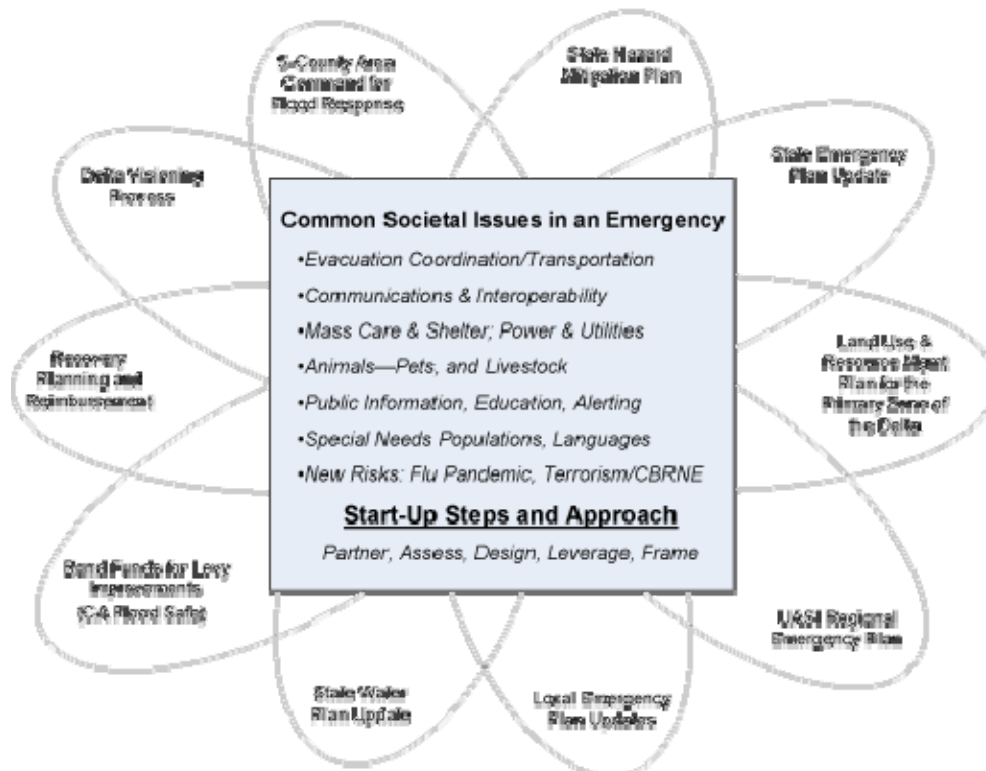


Figure 1. Delta Interrelated Efforts and Common Societal Issues

Delta Protection Commission

The mission of the Delta Protection Commission is to adaptively protect, maintain, and where possible, enhance and restore the overall quality of the Delta environment consistent with the Delta Protection Act, and the Land Use and Resource Management Plan for the Primary Zone. This includes, but is not limited to, agriculture, wildlife habitat, and recreational activities. The goal of the Commission is to ensure orderly, balanced conservation and development of Delta land resources and improved flood protection.

The Governor's Delta Vision Blue Ribbon Task Force has identified emergency management and preparation as one of seven "near-term actions" in the Delta. These "near-term actions" are considered critically important to the immediate well-being of Delta communities. According to near-term action #3, a Delta emergency response plan should be developed to "clarify chains of command for responses to emergencies."

Consistent with Delta Vision's goals, DPC is the sponsor of the Delta Emergency Planning Collaborative (Collaborative). DPC seeks to assist with interagency coordination to ensure a regional approach to emergency preparedness in the Delta.

The collaborative will result in a comprehensive Delta emergency response strategic framework, the preparation of which relies on and is committed to partnerships with governmental and community-based organizations, citizens, and leaders. By bringing a variety of interests and expertise together, the Collaborative will ensure that local plans are supported, regional challenges are minimized, and public safety and protection are enhanced during times of emergency in the Delta. DPC recognizes that its role in this important effort is to act as a convener and planning facilitator—DPC is not a 'first responder' and will not be allocating resources or have direct operational responsibilities during a disaster or emergency. DPC will be working as a sponsor to help organizations with statutory responsibility and others collaboratively develop a unified framework for Delta regional emergency planning.

Finally, the Delta Protection Act of 1992 requires DPC to complete a Land Use and Resource Management Plan for the Primary Zone of the Delta. DPC is in the process of updating the 1995 Plan with which Delta municipalities and counties must be consistent. Emergency planning and response will be included in the updated version.

Department of Water Resources

DWR is charged with managing the water resources of California in cooperation with other agencies, to benefit the State's people, and to protect, restore, and enhance the natural and human environments. DWR has established the Enhanced Delta Emergency Preparedness and Response Program. The program's goal is to incorporate

existing assets and develop new capabilities to form a more comprehensive and effective emergency response plan in the Delta. As part of the program, DWR has accomplished and initiated the following activities:

1. Draft Delta Emergency Operations Plan
2. Community Relations/Public Outreach Plan
3. Regular program updates for internal and external partners
4. New material transfer facilities established
5. Flood response materials purchased and pre-deployed
6. Flood fight training
7. Multi-agency disaster exercise under development

Office of Emergency Services

The Governor's Office of Emergency Services' mission is to oversee the state's ability to mitigate against, prepare for, respond to, and recover from the effects of emergencies that threaten lives, property, and the environment. OES coordinates the activities of all state agencies relating to preparation and implementation of the State Emergency Plan and coordinates state agency and mutual aid emergency efforts in support of local government. OES is currently in the process of updating the State Emergency Plan. There is a focus on further developing and strengthening California's Emergency Functions. These functions (e.g., transportation, mass care and shelter, communications) would support response and recovery activities in an emergency in the Delta.

Sacramento-San Joaquin Delta Flood Response Group

In January 2007, the Counties of Contra Costa, Sacramento, San Joaquin, Solano, and Yolo entered into an agreement for the purpose of enhancing regional flood response processes that would benefit all participating jurisdictions (see [Attachment 1](#)). The Group is a planning and response partnership responsible for developing specific recommendations to governing bodies of participating jurisdictions, and to relevant federal and state agencies, for joint action in the area of planned regional response to threats to the integrity of levee systems. The Group has developed a white paper – “Basis for Regional Flood Response Planning” (April 2008) – that identifies issues associated with four planning statements (see [Attachment 2](#)). One of those issues is the development of a Delta Multi-Agency Coordination System (MACS). As stated in their Operations Manual, the mission of Delta MACS is to perform the following functions in an emergency:

1. Ensure timely, effective, and coordinated information sharing by local governments and state/federal agencies operating in the Delta
2. Evaluate and prioritize incidents on a basin-wide basis
3. Identify “limited” or “critical” resources to better manage those resources on a regional basis
4. Centralize provision of common response needs (e.g., responder feeding) for all involved agencies through unified command or MACS processes
5. Provide joint information to the general public about public safety operations.

US Army Corps of Engineers

The US Army Corps of Engineers provides technical and direct assistance to communities in risk of or affected by floods, and provides advance measures, post flood response, and emergency water assistance. Potential USACE activities to be initiated this year are:

1. GIS (Geographic Information System) flood contingency mapping for all Delta counties and the Delta region, including operational and public information maps
2. Delta levee flood contingency engineering, including “cut sheets”, underpass blockages, etc.
3. Central Valley and statewide water supply emergency measures
4. Participation in and funding for a Delta emergency management response plan

EMERGENCY PLANNING STRATEGY

CONSIDERATIONS

The intent of the DPC/OES effort is to create a framework to make multi- party/multi-plan coordination possible. In developing the proposed methodology and strategy, the CSUS Center for Collaborative Policy considered the items below:

Compelling Need

On November 16, 2006, the Delta Protection Commission issued a statement of “Emergency Preparedness Compelling Need” as follows:

“The Sacramento and San Joaquin River Delta is a complex region. It is a confluence of cultures, economies, ecosystems, politics, and dependencies. And it is a region at risk. Catastrophic natural and subsequent human disaster could happen at any time and any place from flood and/or seismic related levee failures. This diversity and uncertainty demands proactive regional leadership. There is a compelling need for a single entity to facilitate regional problem solving that addresses myriad risk scenarios, protects Delta citizens, and respects jurisdictional diversity. The Delta Protection Commission is an ideal entity to lead these discussions for the following reasons:

1. The regional complexity of the Delta (i.e., multiple governmental and infrastructure jurisdictions, natural features, etc) demands unique, innovative, and unified methods to respond to emergencies in a nimble and effective manner. The current Standardized Emergency Management System (SEMS) provides the bedrock of local and statewide response however, the nuances of Delta conditions require more than SEMS offers.
2. Hurricane Katrina, the Jones Tract levee failure, and the Delta flood events of 1986, 1997, and 2006 provide tangible examples of social risk, uncertainty, and the challenge to coordinate and serve citizens during crisis. The “fog of crisis” is inevitable but should and can be lessened by thoughtful and appropriate planning. An absence of a coordinated response places Delta citizens at heightened risk—especially for a truly catastrophic event that has yet to occur, but has been predicted for the future.
3. Coordinated education is essential to prepare Delta citizens to help themselves during a crisis until and after first responders arrive. For the first 3-5 days the Delta region will be largely on its own to cope. Pooling resources from several jurisdictions will provide unified messages, coordinated preparedness, and leverage cost efficiencies that will benefit all Delta organizations and citizens.

4. The economic well-being of Delta communities depends on an ability to be and appear sustainable. Given the inherent uncertainty of where a crisis would occur, the absence of a regional, comprehensive approach to address Delta catastrophic risks calls such social and economic sustainability into question.
5. All Delta communities and geographic areas are not the same. Some may be at more risk than others due to physical location, adjacency to infrastructure, age of structures, condition of levees, and other conditions. A regional problem solving approach needs to address and respect this diversity, offering options to communities that want choices, and autonomy to communities that do not. This approach is best lead by an organization of the Delta that understands the region and has the collective interests of the wider community in mind.
6. ‘Flood fighting’ is a critical component of emergency response. However, flood fighting focuses on the physical aspects of a crisis. The Delta needs equivalent methods to address the social aspects of a flood crisis. Whether it is evacuation coordination, communicating, or dealing with mass care & shelter, the Delta needs comprehensive, multi-scenario planning to protect lives and property. Such planning starts with focused dialogue. Funding may be available to proceed with many of these efforts through the Federal Department of Homeland Security or other entity. The Commission is in a unique position to advocate for many of these benefits and provide a focused voice for the regions needs—and act as a single focal point through which to build a sustainable and comprehensive emergency planning initiative.

The collective vision of current emergency management specialists from Delta jurisdictions is a region that benefits from seamless coordination for response needs unhindered by geographic or jurisdictional lines; an educated and informed population ready to help themselves as well as to support their community; coordinated management of flood fight crews, supplies and equipment in the Delta basin through a real-time, shared logistics system; and enhanced operability of communications systems during and event that allows for fluid interaction and response coordination. This desired condition is potentially achievable—but only if one centralized organization provides the leadership to coordinate the diverse interests and needs of the Delta region and provides the catalyst for public safety advanced planning.”

Selected Stakeholder Discussions

Initial discussions were held with various stakeholders to get a sense of their knowledge of and ideas about regional planning for the Delta. Participating in the initial discussions were the County Office of Emergency Services for each of the five Delta counties; local fire and reclamation districts; State OES, Department of Water Resources,

and Department of Social Services; Federal Emergency Management Agency; US Army Corps of Engineers; US Coast Guard; and public and private utilities.

Common themes that arose during these discussions include:

- A Delta region planning process must be inclusive addressing the system as a whole, involving all key stakeholders, and using risk-based scenarios.
- Existing planning initiatives must be recognized and incorporated into, and not derailed by, any new Delta planning initiative.
- Sufficient resources, including funding and staff, are needed to develop and implement a regional strategy.
- Funding is needed to develop and maintain a flood fight capability at the local level.
- Jurisdictional authorities and responsibilities must be recognized and clarified.
- A command and control emergency response structure is critical to successful operations.
- Resource inventories and a resource management strategy are needed for an effective Delta response.
- Inter-related emergency operations need to be coordinated (for example, evacuation and mass care and shelter) and need to take into consideration the needs of the community, especially vulnerable populations.
- Community education and development of clear, accessible emergency public information is needed.
- There are existing operational processes that work and can be leveraged.
- Joint training and regional emergency response exercises are critical.
- This project would result in a framework that could be used in other regional planning efforts throughout the state.

A questionnaire was developed to use as a springboard for many of the discussions (see [Attachment 3](#)). The questionnaire was found to be useful in preliminary stakeholder

discussions and could be updated, as needed, for a broader stakeholder assessment process.

Plan Review Process

As mentioned above, most entities with emergency responsibility have developed Emergency Operations Plans. CCP developed a plan review template (see [Attachment 4](#)). The template was used to review six federal, state, regional, and local plans to get a sample of existing plan content and their relationship to Delta planning. This review was not meant to reflect the entire scope of emergency plans that are currently available or to in any way to be a judgment on the quality of the plans, but instead to get a snapshot overview regionally of collective consistencies, gaps, and overlap relative to the Delta.

Below is a list of the plans reviewed in this phase of the project (see [Attachment 5](#) for complete list of plans received to date). The plan review summaries will be available to planners for any follow-on phases to this process.

1. **National Response Framework (January 2008)**, the overarching federal emergency response document
2. **California Multi-Hazard Mitigation Plan (2007)**, a 650 page document devoted to hazard mitigation in California
3. **Department of Water Resources Interim EOP/Concept Paper (March 2007)**, due to be finalized by end of 2008
4. **Contra Costa Emergency Operations Plan (EOP), 2006**, standard EOP focused on Emergency Operations Center activities
5. **San Francisco Bay Area Regional Emergency Coordination Plan, 2007**, prepared with funding from federal regional planning efforts, includes a base plan with subsidiary plans under development
6. **Solano County Emergency Operations Plan (EOP), 2007**, standard EOP focused on Emergency Operations Center activities

Several trends were uncovered during the analysis process, including:

- A commitment to a standardized emergency management structure (NIMS and SEMS).
- Recognition of the need for a regional approach to planning in three of the documents.
- A recognition and commitment to work with private sector partners (including non-governmental organizations).
- Most plans are supported by procedures and protocols for response.
- Two documents with elements that may support addressing societal issues; the documents differ as to approach and extent.

- Two documents with large quantities of data relevant to the Delta that can be used by planners prior to and during an event (charts, maps, graphics, procedures).
- Plans generally do not reference regional coordination across geographic lines beyond traditional SEMS principles.

The review of sample plans was also meant to test the plan review template itself, since it is anticipated that many more emergency plans would need to be reviewed for a more thorough understanding of the interrelationship of existing documents. The preliminary plan review summary template was generally useful for the plan analysis process. The format may be revised for subsequent plan reviews.

Delta Regional Framework Development Matrix

An overview of the above review is contained in the Delta Regional Framework Development Matrix (see [Attachment 6](#)). This type of matrix can be used during the next phase of this process to catalogue and analyze other plans. This matrix will help identify specific planning gaps, conflicts, and overlaps.

This type of matrix can be used to both track development of a Delta regional strategy and summarize data from other plans as they are analyzed. This matrix:

- Summarizes the reviewed plans
- Explores in a very brief way how to use plans in relation to a Delta regional plan
- Explores ways in which “societal issues” may be incorporated in the plans

Emergency Planning Process and Plan Components

State and local Emergency Operations Plans (EOP) are required under various laws, ordinances, and orders and as conditions to receiving certain grant funds. Regional emergency plans are normally not a requirement. Given this situation, there are not currently standardized emergency management regional plan templates or guidance documents. However, the U.S. Department of Homeland Security’s National Preparedness Guidelines (September 2007) do establish regional collaboration as a national priority, stating that “(s)tandardized structures and processes for regional collaboration enable entities collectively to manage and coordinate activities for operations and preparedness consistently and effectively.”

While not specific to regional planning, all hazards emergency plan development processes and EOP guidance have been established and used successfully for many years. Based on federal and state models and practices, the table in [Attachment 7](#) provides a high level overview of emergency planning and EOP elements.

It is important to note that State OES is in the process of revising the State Emergency Plan and is proposing California Emergency Functions (CA-EFs). CA-EFs are designed to be a grouping of state agencies and other stakeholders whose daily operations lend themselves to improving the State's ability to effectively mitigate, collaboratively prepare for, cohesively respond to, and rapidly recover from any emergency. Development of California CA-EF annexes to the State Emergency Plan will entail a tiered approach, starting with state agency roles and responsibilities and expanding over time to incorporate roles and responsibilities of all relevant stakeholders including all political subdivisions of the State, tribal, private, federal, and community-based organizations. A framework for the CA-EFs is anticipated to be developed in June 2008 and will include a summary of each function and the stakeholders that will be brought together to collaboratively plan for the emergency function.

ANALYSIS AND FINDINGS

This section takes into account the current planning efforts and emergency planning strategy considerations above and other available information to identify key elements needed for a successful Delta regional emergency planning process.

Improved interagency coordination of emergency planning and response is needed. Stakeholders identified this as critical for successful emergency operations in the Delta region. Their observations are also supported by the federal government which has made regional planning a priority nationally and provided funding for regional planning projects. In addition, California has moved forward in regional planning using federal grant funds to develop the San Francisco Bay Area Regional Emergency Coordination Plan.

Existing emergency planning efforts are underway which support regional planning in the Delta. The Delta Multi-Agency Coordination System (MACS) describes a process to provide regional coordination and integrated operations during a major flood event. The DWR EOP, when completed, will address Delta-related issues including flood fighting, levee repair, and water supply and quality. Hazard mitigation efforts, such as those detailed in the California Multi-Hazard Mitigation Plan, provide useful data on the Delta which can contribute to the planning effort. The San Francisco Bay Area Regional Emergency Coordination Plan could provide a useful model for consideration in the Delta.

Emergency management organizations are at capacity in relation to their assigned responsibilities and projects. Organizations at the federal, state, and local level are dealing with a plethora of critical projects addressing preparedness, prevention, response, recovery, and mitigation. Any new activities must be prioritized relative to existing tasks and, as needed, funding made available.

Emergency management structures exist as a foundation for Delta-specific planning. California's Standardized Emergency Management System (SEMS) has been used by state and local governments since its statutory implementation in 1995. The National Incident Management System is consistent with SEMS and is used by federal, tribal, state, and local governments. Both systems speak in general terms to coordination of headquarters, regional, and state/local efforts. Therefore, participants in Delta region-specific planning will be working from a common framework and the outcome of this planning effort will be consistent with other agency and jurisdiction plans.

Delta-specific planning processes and products should coordinate and augment – not duplicate – existing planning efforts or documents. Agencies with emergency management responsibilities have plans and processes in place to carry out their specific responsibilities. Stakeholders have reiterated the need to leverage and augment existing plans and procedures, rather than creating a separate plan from scratch. The goal of a Delta-specific regional planning process is to coordinate inter-agency actions and to ensure that there are no gaps in service delivery. Reviewing existing plans to determine stated roles and responsibilities and response protocols will help to determine gaps and overlaps in these areas.

Existing emergency management planning processes and guidance can inform a Delta region process and ensure an outcome consistent with standard practices. Federal, state, and local emergency managers have long used common planning processes and plan structures. This will reduce the amount of time needed to educate stakeholders in this particular area and will provide a familiar starting point for regional planning. In addition, planning products will be easily understood by others in the emergency management field.

Based on initial discussions with Delta region stakeholders, conditions, in general, are in place to conduct a successful stakeholder process. CCP has identified basic elements necessary to start and conduct successful collaborative stakeholder processes (see [Attachment 8](#)). During interviews and at meetings, federal, state, and local agencies have expressed the willingness and stated the need to work together on Delta region emergency planning. There is recognition that the effort will take resources and that funding must be pursued. The parties recognize the benefit for their individual agencies, as well as the Delta region, in pursuing a collaborative emergency planning process. In fact, several entities have already begun joint planning processes for specific functions. These parties will have future dealings with each other by virtue of their roles and responsibilities in emergency management. There is external pressure and support to carry out this process at the federal, state, and local levels.

There are numerous potential regional issues to be addressed in the Delta and there must be concurrence on which critical issues are addressed first. There are existing

plans, procedures, and protocols, as well as current planning initiatives, that can support and be incorporated into a Delta region strategy. That strategy could encompass the geographic region, the multiple levels of government, and key partners (including those in the private sector) and address shortfalls in planning for societal issues and other Delta emergency planning gaps. However, the limited capacity of stakeholder organizations to take on additional work must also be recognized. Any proposed comprehensive Delta region process must leverage the current planning efforts and documents to identify critical issues and the order and timeframe in which they will be addressed.

CONCLUSION AND RECOMMENDATION

The factors listed above support the need for regional collaboration on Delta emergency planning and for proceeding with the next phase of this planning project - a comprehensive Stakeholder and Organizational Assessment to design a large-scale collaborative approach to be used for Delta emergency planning work. It is essential to note that any Delta regional planning process will require commitment of staff and a dedicated funding source(s) to be successful.

This section outlines a draft initial work plan for the assessment and for anticipated future phases. The activities and timeframes identified for phases and activities beyond the Stakeholder and Organizational Assessment are contingent upon, and will be modified based on, the assessment results.

Initial Draft Work Plan

Project Phase	Activities	Key Action Steps/Milestones	Anticipated Deliverables	Timeframe
I	Develop Strategy for Collaborative Emergency Response Planning in California's Delta Region	<ul style="list-style-type: none"> Initial stakeholder abbreviated interviews Review of sample plans Identification of current planning efforts and methods 	Phase I report identifying need for regional collaboration on Delta emergency planning.	November 2007 – June 2008

II	Develop and complete a comprehensive Stakeholder and Organizational Assessment to design a large-scale collaborative approach to be used for Delta emergency planning work to proceed	<ul style="list-style-type: none"> Identify and interview 25 – 45 key stakeholders Analyze stakeholder input. Establish strategic stakeholder model for future phases Establish Planning Team 	Phase II report summarizing interviews of Delta emergency responders and proposing design for remainder of the project; creation of Planning Team	July – December 08
<p>NOTE: ACTIVITIES AND ACTION STEPS IN THE REMAINDER OF PHASE II AND IN PHASE III ARE DRAFT AND CONTINGENT UPON RESULTS OF THE STAKEHOLDER AND ORGANIZATIONAL ASSESSMENT.</p>				
	Initiate a regional plan development framework for integrating all current efforts by applying coordinated techniques, meetings and stakeholder involvement.	<ul style="list-style-type: none"> Review and analyze existing emergency plans Identify gaps and overlaps Identify lessons learned and best practices Conduct an initial multi-agency tabletop exercise to validate existing and identify new gaps and overlaps Identify policy issues/functional areas to be addressed in Phase III in an updated work plan Confirm purpose and scope of planning effort Develop final work plan for Delta emergency response planning efforts 	Work Plan defining key project elements and policy and program issues in the Delta.	
III	Develop a fully-integrated regional emergency strategy which will serve as both a coordination tool for current	<ul style="list-style-type: none"> Regional strategy organizational structure and components agreed upon drawing on results from work in Phase II Develop strategies to fill 	Consensus approved Delta region emergency response strategy	January 2009 – July 2010

	emergency operations as well as the structure for future emergency and homeland security work in the Delta Region.	gaps and eliminate overlaps in functional areas <ul style="list-style-type: none"> • Ensure planning consistency and address any cross-cutting issues • Tabletop exercises conducted periodically to test concepts being developed. 		
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Immediate Next Steps

If the process is agreed upon and funded, there are immediate next steps that need to be taken to initiate the project.

Stakeholder Assessment

- Finalize/update questionnaire and comprehensive interviewee list
- Schedule and conduct interviews
- Develop organizational/stakeholder assessment report

Plan Review

- Refine Plan Review template, as needed.
- Begin identifying all plans to be reviewed for commonalities, gaps, and overlaps as part of Phase II.

Planning Team

- Establish/affirm team membership and draft charter outlining roles and responsibilities.
- Brief team on overall project and process.
- Request input on next steps for stakeholder and plan review process.

Exercises

- Begin designing a multi-agency exercise to validate existing and identify any new gaps and overlaps.

ATTACHMENTS

1 – Agreement for Participation in Sacramento-San Joaquin Delta Flood Response Group

2 – Basis for Regional Flood Response Planning

3 – Assessment Questionnaire

4 – Plan Review Template

5 – List of Plans Received/Reviewed

6 – Delta Regional Framework Development Matrix

7 – Emergency Operations Plan Processes & Elements

8 – Conditions of Feasibility for a Stakeholder Process

Attachment 1 – Agreement for Participation in Sacramento-San Joaquin Delta Flood Response Group

A-07- _____

AGREEMENT FOR PARTICIPATION IN SACRAMENTO-SAN JOAQUIN DELTA FLOOD RESPONSE GROUP

This Agreement is made this 23rd day of January, 2007, by and between the Counties of Solano, Contra Costa, Sacramento, San Joaquin, and Yolo, subdivisions of the State of California.

RECITALS:

Whereas, the potential for a catastrophic flood caused by natural or man made agents in the Sacramento and San Joaquin Delta has been clearly demonstrated during the floods of 1995, 1997, 1998, 2004 and 2006, and

Whereas, such catastrophic floods simultaneously impact large hydrological basins encompassing multiple political jurisdictions thereby making such political boundaries a hindrance to most effective organization and coordination of emergency response to threats to the integrity of Delta levee systems, and

Whereas, there is currently no formal process for the identification and implementation of opportunities for improving regional flood response such as improved basin-wide coordination of available levee floodfight resources, and

Whereas, creation of a regional flood planning group to recommend joint action to governing authorities of participating jurisdictions sharing the common hydrological conditions of the Sacramento-San Joaquin Delta would provide a mechanism for creating such beneficial regional flood response processes;

THE PARTIES AGREE AS FOLLOWS:

ARTICLE 1. CREATION OF THE SACRAMENTO-SAN JOAQUIN DELTA FLOOD RESPONSE GROUP

The parties to this Agreement hereby create and recognize the “Sacramento-San Joaquin Delta Flood Response Group” for the purpose of enhancing regional flood response processes that would benefit all participating jurisdictions.

This group shall constitute a planning and response partnership responsible for developing specific recommendations to governing bodies of participating jurisdictions, and to relevant Federal and State agencies, for joint action in the area of planned regional response to threats to the integrity of levee systems.

Members of the “Sacramento-San Joaquin Delta Flood Response Group” may, upon approval of recommendations by local governing bodies, jointly act to implement such recommendations as appropriate.

ARTICLE 2. CONSIDERATION

The consideration under this Agreement is the mutual advantage of increased protection afforded to each of the parties to this Agreement. There shall not be any monetary compensation required from any party to another party unless jointly developed and approved through separate agreements. Any costs for implementing recommended regional response improvements shall be borne by the individual participating jurisdictions under an agreed upon financing plan.

ARTICLE 3. FLOOD RESPONSE GROUP ORGANIZATION

The Sacramento-San Joaquin Delta Flood Response Group Steering Committee shall consist of one representative of each of the party jurisdictions to this Agreement. Such representative, and two alternates, will be appointed in writing by the governing body approving this Agreement. The Committee may only act if a quorum of its membership is present. A quorum shall be defined as a majority of its entire membership. The Committee may only approve an action by a majority vote of its entire membership. All meetings of the Committee shall comply with the requirements of the Ralph M. Brown Act (Government Code Sections 54950 et seq.). Authority to act to implement jointly agreed upon recommendations may be delegated by governing bodies of participating jurisdictions.

The Flood Response Group shall set policies and procedures subsequent to identification, development, and approval of action recommendations. Such recommendations for joint regional action will then be forwarded for review and action by governing bodies of parties to this Agreement or their designee.

The Flood Response Group will designate a chairperson to the committee. Any duly designated chairperson shall serve no more than two years before rotation of this function to a new jurisdictional representative. Additional staff of participating jurisdictions may participate in planning subcommittees as determined by the Steering Committee.

State and Federal agencies, including the United States Army Corps of Engineers, will be invited to participate in meeting and planning sessions for the purposes of enhancing final products, ensuring consistency with State and Federal planning efforts, and promoting appropriate changes in State and Federal operational procedures.

ARTICLE 4. MEETING FREQUENCY AND LOCALE

The Sacramento-San Joaquin Delta Flood Response Group Steering Committee shall meet at least four times a year within the boundaries of one of the parties to this Agreement.

ARTICLE 5. TERM OF AGREEMENT

This Agreement shall be effective from the date executed by all the parties until January 1, 2017. This Agreement may be terminated prior to the conclusion of the term by mutual agreement of a majority of the member parties.

ARTICLE 6. WITHDRAWAL OF PARTY

Any party to this Agreement may withdraw as a party to this Agreement prior to the termination of the term of this Agreement upon giving 90 days prior written notice to the other parties.

ARTICLE 7. ADDITIONAL PARTIES

Additional parties, who are a County, City, State agency, or Federal agency with jurisdiction within the area affected by the Sacramento and San Joaquin Rivers and their tributaries may join in this Agreement and become member entities upon execution of an Exhibit to this Agreement in which the entity agrees to be subject to the conditions and terms of this Agreement.

The executed Exhibit shall become a part of this Agreement automatically after the expiration of thirty days following notification by the new party to all other parties of the execution of the Exhibit. Thereafter, the entity shall be considered to be a party to this Agreement unless the entity withdraws as provided herein. Provided, however, in the event any existing party to the Agreement gives the others notice of its objection to the addition of the particular entity to the Agreement within the thirty day notice period, the addition of such party to the Agreement shall require the consent of three-fourths of the then member parties.

ARTICLE 8. INDEMNIFICATION AND HOLD HARMLESS

Each of the party's agrees to indemnify and hold the other parties harmless and waives all claims for compensation for any loss, damage, personal injury, or death incurred in consequence of the acts or omissions of the indemnifying party's own employees and agents in the performance of this Agreement.

ARTICLE 9. SALARIES, EMPLOYMENT, AND WORKER'S COMPENSATION
BENEFITS

The salaries, employment and Worker's Compensation benefits of each employee participating in the Sacramento-San Joaquin Delta Flood Response Group shall be the responsibility of the party employing the individual.

IN WITNESS WHEREOF THE PARTY HERETO HAS EXECUTED THIS AGREEMENT
AS FOLLOWS:

ATTEST: LOIS M. SAHYOUN
Clerk of the Board of Supervisors

COUNTY OF SAN JOAQUIN

By _____(SEAL) By _____

Deputy Clerk

Title _____

Exhibit for Addition of Party to the
Agreement for Participation in
the Sacramento-San Joaquin Delta Flood Response Group

The undersigned jurisdiction/agency agrees to become a party to the _____
2007 Agreement For Participation in the Sacramento-San Joaquin Delta Flood Response
Group and to be bound to all the terms and conditions set out therein. It is understood
that pursuant to Article 7 of the Agreement that this jurisdiction/agency shall
automatically become a party to the Agreement thirty (30) days following notification of
the execution of this Exhibit to all the existing parties to the Agreement, provided that
there is no objection by any of them whereupon three fourths of the existing parties
must agree to the entry of this jurisdiction. In the event that the undersigned desires to
withdraw as a party to the Agreement, such withdrawal shall be effective upon receipt
of notice of withdrawal by this jurisdiction as long as this jurisdiction has provided
notice of the withdrawal in accordance with the provisions of the Agreement to other
existing parties.

By:

Title

Jurisdiction

Attachment 2 – Basis for Regional Flood Response Planning

SACRAMENTO-SAN JOAQUIN DELTA FLOOD RESPONSE GROUP

Basis for Regional Flood Response Planning

The emergency managers of Contra Costa, Solano, Yolo, Sacramento, and San Joaquin Counties have developed the following recommended basis for developing more effective response to threats to levee integrity, and therefore to life and property, in the Delta.

Planning Statement #1

Counties operating with their cities and reclamation districts as an Operational Area can potentially provide more rapid organizational response to threats to levee integrity due to the fact that levee patrol and problem identification is a local responsibility and local administrative organizations and decision making authorities are in closer proximity to emerging levee problems.

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| Issue 1.1 | Counties and cities have not traditionally been seen as sources for response to levee problems, or direct support to public agencies responding to levee problems, due to financial and jurisdictional issues. The Operational Area concept provides a basis for realizing the potential of Planning Statement #1. |
| Issue 1.2 | The resources of counties, cities, and reclamation districts making up an Operational Area are too limited for carrying out many recognized actions needed to rectify identified levee problems or contain flood flows from a breach. Funding from bond or other sources should be provided for use by local governments to realize the potential of Planning Statement #1. |
| Issue 1.3 | The Department of Water Resources provides critical technical and direct flood fight support to local response efforts over the entire Central Valley. DWR should be prepared to immediately supplement enhanced local efforts with direct flood fight assistance for problems beyond the financial or administrative capabilities of local jurisdictions through the mission tasking process maintained by the Governor's Office of Emergency Services and under priorities established by the Director of Water Resources and staff. |
| Issue 1.4 | The United States Army Corps of Engineers provides critical technical assistance and direct flood fight assistance in support of the State emergency response. USACE must be prepared to rapidly provide technical and direct assistance to command entities identified in Planning Statement #2 under PL84-99 and other programs. |

SACRAMENTO-SAN JOAQUIN DELTA REGIONAL FLOOD RESPONSE PLAN

Basis for Regional Flood Response Planning, Continued

Planning Statement #2:

The five Operational Areas (counties with their cities and reclamation districts) and State agencies with direct flood fight resources should coordinate flood fight activities through pre-established Flood Fight Unified Commands composed of reclamation districts in close geographical proximity and sharing a common direct threat in order to improve coordination between districts and with local, State, and Federal agencies. These Unified Flood Fight Commands should be supplemented with a regional Sacramento-San Joaquin Delta Region Multi-agency Coordination System (hereafter Delta MACS).

- | | |
|-----------|---|
| Issue 2.1 | Operational Areas will determine the proper organizational structure and relationship for flood fight unified command(s) within their boundaries and other commands responsible for evacuation and rescue operations. |
| Issue 2.2 | The Delta MACS will consist of operational areas and State agencies with direct response authorities in the Delta. |
| Issue 2.3 | Planning and intelligence elements that would be shared through the Delta MACS, as well as its regional coordination responsibilities, will be clearly identified prior to an emergency. |
| Issue 2.4 | Response to levee problems and levee failure should be guided by pre-developed contingency maps providing historical and survey information, pre-planned delivery points, and response options necessary for rapid and effective decision making. |
| Issue 2.5 | Resources within established mutual aid systems (Law, Fire, Public Works, etc.) will be managed within the normal Standardized Emergency Management System (SEMS). Automatic aid agreements and resource typing should be created between the Delta counties for specialized resources unique to Delta emergencies (e.g. watercraft and helicopters). Resources managed by Delta MACS will be pre-identified. |
| Issue 2.6 | Federal disaster assistance programs should be modified to facilitate direct action by any public jurisdiction/agency to threats to levee integrity or to contain flood waters. Specifically, current FEMA Stafford Act regulations only allow reimbursement for a jurisdiction's response costs for actions where it has legal jurisdiction. This regulation discourages response by other government entities to levee problems since the levee is the legal jurisdiction of the reclamation district only. |

SACRAMENTO-SAN JOAQUIN DELTA REGIONAL FLOOD RESPONSE PLAN

Basis for Regional Flood Response Planning, Continued

Planning Statement #3:

State and Federal agencies should have specific pre-identified operational support assignments for all five Delta operational areas. State or Federal agencies may perform such a pre-assigned function in all Delta operational areas (counties and cities) through a single agency command structure which may coordinate with Delta MACS or within a single county as identified in pre-developed flood contingency maps.

- Issue 3.1 Federal agencies will work with operational areas to pre-identify Delta wide assignments to be coordinated through the Delta MACS.
- Issue 3.2 State agencies providing resources and response in the Delta may participate as a member of the Delta MACS with local representation in Flood Fight Unified Commands.
- Issue 3.3 State and Federal agencies should pre-identify potential missions, and take steps to ensure their ability to rapidly fulfill such missions if needed, through participation in the creation of flood contingency maps.

Planning Statement #4:

Evacuation and rescue operations should remain the individual responsibility and control of each local jurisdiction with support provided under established mutual aid systems.

- Issue 4.1 The State of California should facilitate the development of regional operational plans for large scale evacuations crossing county lines.
- Issue 4.2 The process for mutual aid requests for the Counties of Solano and Contra Costa should be reviewed for beneficial modifications during Delta floods.
- Issue 4.3 Delta counties and cities should develop common organizational approaches to evacuation and rescue operations in order to facilitate the rapid incorporation of mutual aid resources from other counties into each other's operations.

MULTI-AGENCY COORDINATION SYSTEM (MACS)

A multiagency coordination system is a combination of facilities, equipment, personnel, procedures, and communications integrated into a common system with responsibility for coordinating and supporting domestic incident management activities. The primary functions of multi-agency coordination systems are to support incident management policies and priorities, facilitate logistics support and resource tracking, inform resource allocation decisions using incident management priorities, coordinate incident management related information, and coordinate interagency and intergovernmental issues regarding incident management policies, priorities, and strategies. A typical multiagency coordination system may contain one or several Emergency Operations Centers (EOCs). Depending upon the type and location of the emergency/disaster, various command elements (i.e. area commands, unified command or the incident commander) will have to coordinate activities within an established multi-agency coordination system.

FLOOD FIGHT UNIFIED COMMAND

Unified Command allows all responsible agencies to manage an incident together by establishing a common set of incident objectives and strategies. As a team effort, Unified Command overcomes much of the inefficiency and duplication of effort that can occur when agencies from different functional and geographical jurisdictions, or agencies at different levels of government, operate without a common system or organizational framework.

Flood Fight Unified Command would consist of the 1) reclamation districts who would face an immediate common threat if any one of those districts flooded and/or which cover a distinct identifiable section of the water basin, 2) the Federal and State agencies representatives assigned to provide flood fight assistance to that group of districts, and 3) County/city agencies that provide flood fight assistance, command coordination, or liaison with evacuation and rescue command entities.

A deputy commander would be assigned to the Unified Command to facilitate meetings, coordination with County, State, and Federal agencies operating over a wider geographical area, and the Delta Regional Multi-Agency Coordination System (MACS). The deputy would be drawn from a local agency (fire district, County department, etc.) who has command qualities. State and Federal agencies with limited resources would coordinate directly through the Delta Regional MACS which would facilitate their interaction and participation in the Flood Fight Unified Commands. Incident/Unified Commands for evacuation, rescue, and security would most likely coordinate with the Flood Fight Unified Commands through liaison or through the Deputy Commander.

Attachment 3 – Assessment Questionnaire

DELTA PROTECTION COMMISSION: EMERGENCY PLANNING COLLABORATIVE PROJECT Assessment Questionnaire

Thank you for taking the time to participate in the Assessment process. Each interview should take approximately 30 minutes – 1 hour. All participants are being asked the questions that follow. You may not have answers, or be prepared to have answers, for all the questions and that is fine; a key purpose of the assessment is to identify baseline stakeholder knowledge and perspective on the project under development. The information will be used to help design a collaborative planning project that seeks to incorporate the suggestions and preferences of all participating organizations.

Background Questions:

1. *Have you received any information about the Delta Protection Commission's (DPC) project under development for regional emergency planning in the Delta (with support from the Office of Emergency Services)?*
2. *From your past experiences of planning in the Delta region, what challenges or barriers have you encountered, and what lessons-learned might be applied for future efforts to make them more successful?*
3. *From your organizational perspective, what do you feel are the most pressing societal issues for emergency planning and response coordination in the Delta?*
4. *Is there any key issue from your organizational perspective that could be problematic to the success of the process if not addressed in this project?*
5. *Viewed from a societal context (#3 above), who do you feel are key organizational stakeholders that need to be involved with the process—both now in the design, and in the longer term?*
6. *Do you have any reservations or words of advice regarding the initiation of a regional planning effort?*
7. *If you were to envision key beneficial outcomes, what would you like to see as results of the project?*

Emergency Plans

8. *As part of the DPC/OES effort, CCP will be conducting a comprehensive review of documents that address emergency preparedness and response in the Delta. The purpose of these reviews is to identify commonalities and constraints that could be issues in the future. Do you have (or are aware of) any specific emergency operations plans, policies, and/or procedures that address emergency response and/or recovery operations in the Delta? If yes, may we have a copy for our effort (or an electronic link)?*
9. *Are you aware of any emergency plans, policies or procedures that pay particular attention to the societal issues of emergency planning and response (i.e., mass shelter, evacuation of persons with special needs, livestock/pet care in an emergency, etc.)?*
10. *What gaps, overlaps or conflicts have you noticed, if any, in existing plans and planning efforts addressing the Delta?*
11. *Has your agency/group participated in any exercises (tabletop, functional, full-scale) in the Delta? Would this be a valuable process to pursue?*

Wrap Up

12. *Do you know of any related efforts that are underway that DPC should know about? Would you describe how they would be valuable to the project?*
13. *Is there anyone else that DPC should speak with to better understand these issues?*
14. *Is there anything else that you would like to discuss or that we should know that would help the coordination of a regional emergency planning effort?*
15. *As the design takes shape for this project, do you have any advice about how to avoid pitfalls and obtain maximum benefits for all involved stakeholders?*
16. *Do you foresee any other barriers to success or challenges that would be valuable to know about in the early design for this regional planning collaborative?*

Thank you for your time!!!

Attachment 4 – Plan Review Template

Plan Name and Date	
Prepared by (Jurisdiction or Organization)	
Type of Plan	
Plan Purpose/Audience	
Plan Scope	
Summary of Table of Contents	
Comments	

Questions:

1. Does plan address organizational structure? (SEMS, NIMS, etc.). Does it describe a broad emergency management organization or is it limited in scope or function? Describe organization(s).
2. Does plan address coordination across jurisdictions, among levels of government, with private sector? Describe coordination.
3. Does the plan address “regional” concerns?
4. What is the “plan scenario” (or scenarios)?
5. What are the plan’s strengths? What are its weaknesses? What are its gaps?
6. Is the plan supported by procedures and protocols?
7. Does the plan mention other phases of emergency management (mitigation, preparedness)? What is addressed in these areas?
8. What are the general impressions of this plan in relation to others in addressing the Delta (overlaps, gaps, assumptions, data , use, conflicts, etc.)
9. Does the plan reference coordination with any other plans or initiatives in the Delta Region?
10. Does the plan address “societal issues”? How are they addressed (robust, standard, weak) Are they focus of the plan or tangential?

Area	Comments
Evacuation Coordination and transportation	
Communications and Interoperability	

Mass Care and Shelter	
Utilities Restoration	
Animals- Pets and Livestock	
Public Information, Education, Alerting	
Special needs populations (disabled, elderly, economically vulnerable)	
Language concerns	

Attachment 5 – List of Plans Received/Reviewed

Below is a list of plans received to date; those with asterisks (*) have been reviewed using the Plan Review Template in Attachment 4.

Federal

1. * National Response Framework (January 2008)

State

2. * California Multi-Hazard Mitigation Plan (2007)
3. * Department of Water Resources Interim Emergency Operations Plan (EOP)/Concept Paper (March 2007)

Local

4. * Contra Costa Emergency Operations Plan (2006)
5. San Joaquin County Multi-Hazard Plan (February 2008)
6. * Solano County Emergency Operations Plan (2007)
7. Solano County Water Agency Flood Awareness Manual
8. Yolo County Emergency Operations Statute (Plan under revision)

Regional

9. Sacramento-San Joaquin Delta Multi-Agency Coordination System Operations Manual (March 1, 2008)
10. * San Francisco Bay Area Regional Emergency Coordination Plan (2007)

Attachment 6 – Delta Regional Framework Development Matrix

Document Title	Document Contents	Developed/Reflected in Document	Comments
<i>Delta Regional Framework (future step)</i>	<i>Insert Desired contents of Delta Regional Framework here, including societal issues</i>	<i>Indicate date these items were completed</i>	<i>Delta Regional Framework to be developed</i>
National Response Framework, Jan 2008	Introduction; Chapter I- Roles and Responsibilities; Chapter II- Response Actions; Chapter III- Response Organization; Chapter IV-Planning: A Critical Element of Effective Response; Chapter V- Additional Resources Supplemental Annexes, etc. on NRF Website	Cannot modify federal plan. Plan and references on NRF Website contain useful information. Cross reference to societal issues in Plan or ESFs. See NRF Plan Summary dated 2.17.08	Delta Regional Framework will need to contain appropriate references to NRF. Material on ESFs may be particularly useful.
California Multi-Hazard Mitigation Plan, 2007	Chapter 1. Planning Process Chapter 2. Legal, Institutional, and Policy Framework Chapter 3. State Mitigation Strategy Chapter 4. Profile of State Assets Chapter 5. Assessing Hazards, Vulnerability, and Risk Chapter 6. Local Hazard Mitigation Planning Chapter 7. Funding Sources and	References to the Delta are scattered throughout the document. Some sample references are contained in Hazard Mitigation Plan Summary dated 2.22.08. For a complete Delta list, do word search on Delta.	Have mitigation planners involved in the development of the Delta Regional Framework “mine” the Hazard Mitigation Plan for data that can be used by planners and/or in the EOC area for situation analysis.

Document Title	Document Contents	Developed/Reflected in Document	Comments
	Capability Chapter 8. Enhanced Plan Criteria Achievements Program Appendix Plan Updates		
Department of Water Resources Interim EOP/Concept Paper, dated March 2007	1.0 Introduction 2.0 Priorities 3.0 Sacramento-San Joaquin Delta Risks 4.0 DWR Emergency Management Structure 5.0 DWR's Current Ability to Plan for and Respond to Delta Events 6.0 Recommendations 7.0 Next Steps	This is a bridging document that will lead to a more comprehensive EOP. The final EOP will be consistent and in compliance with California's Standardized Emergency Management System (SEMS) and with the National Incident Management System (NIMS). Section 7-Next Steps , includes development of the EOP as one of its items	This Interim EOP can be used, if necessary, as an interim emergency response plan. Contains many charts, maps, tables that will be useful to planners either before an event or in EOC for situation analysis. DWR will be developing complete EOP by end of 2008. DWR may want to develop annexes that address coordination of "societal issues" with the Regional Framework, or may be asked to provide specific input for the Regional Framework.
Contra Costa EOP, 2006	Letter of Promulgation; Glossary of Terms, Common Acronyms and Abbreviations Part One- GENERAL INFORMATION	This is a "traditional" EOP oriented toward Emergency Operation Center (EOC) functions. "Delta" is not mentioned in this plan, based upon a word search. "Societal issues" are not	Contra Costa could develop a Delta specific plan, could develop Delta specific annexes addressing societal issues, or could be part of the larger Regional Framework development process for societal

Document Title	Document Contents	Developed/Reflected in Document	Comments
	<p>Authorities, Contra Costa Emergency Management Organization, Concept of Operations, SEMS, Hazard Summary, Continuity of Government</p> <p>Part Two- INITIAL RESPONSE OPERATIONS Concept of Operations, Field Response, Field Coordination</p> <p>Part Three-EXTENDED RESPONSE OPERATIONS Concept of Operations, Department Operations Centers, Emergency Operations Center, EOC Coordination, Damage Assessment and Situation Reporting, Public Information, Emergency Declarations, Transition to Recovery Operations EOC ICS Functions</p> <p>Part Four-RECOVERY OPERATIONS Concept of Operations, Short-Term Recovery, Long-Term Recovery, Disaster Assistance</p>	addressed at any great length.	issues.

Document Title	Document Contents	Developed/Reflected in Document	Comments
	Index of Figures, Index of Tables		
Bay Area Regional Emergency Coordination Plan, 2007	<p>Forward; Acknowledgments; Record of Changes</p> <p>Section 1- Introduction (Purpose; Objectives; Scope and Applicability; Type and Extent of Event; Authorities, Regulations, and Requirements; Operational Priorities; Key Supporting Concepts; Plan Development and Maintenance</p> <p>Section 2- Planning Assumptions and Considerations (Planning Assumptions ; Threats)</p> <p>Section 3- Roles and Responsibilities (Operational Areas; OES Coastal Region; OES Headquarters/State Operations Center; Regional Mutual Aid Coordinators-Region II); State Agencies; Utilities; Federal Government; Private Sector and Non-Governmental Organizations</p>	<p>Delta concerns are not reflected in this Plan. Two pertinent hazards are mentioned:</p> <p>1) flooding as a potential area hazard and 2) a large-scale earthquake in the Bay Area that might impact the Delta.</p>	<p>Since many of the counties in this Plan overlap with Delta counties, the BARECP could be viewed as a complimentary plan to the eventual Delta Regional Framework.</p> <p>The format and approach used in this Plan could be considered as one model for the future Delta Regional Framework.</p>

Document Title	Document Contents	Developed/Reflected in Document	Comments
	<p>Section 4- Concept of Operations (Emergency Types and Coordination Levels; Regional Response Organization; State Response Organization; Federal Response Organization; Resource Provision; Regional Decision-Making and Allocation of Resource Requests; Regional Information Sharing; Regional Coordination of Public Information; Support for Incapacitated Jurisdictions; Continuity of Operations; Training and Exercises</p> <p>Section 5- REOC Activation, Staffing, and Organization (REOC Activation Levels; Activation Process, REOC Organizational Structure; Staffing)</p> <p>Appendices Appendix A- List of Acronyms Appendix B- Potential Effects of an Emergency Event in the Bay Area Appendix C- REOC Situation Form</p>		

Document Title	Document Contents	Developed/Reflected in Document	Comments
	<p>Appendix D- Public/Private Interface Concept</p> <p>Appendix E- Federal Emergency Support Functions</p> <p>Appendix G- Critical Action Sheet for Resource Management</p> <p>Appendix H- REOC Situation Status Form</p> <p>Appendix I- Protocol for Regional Coordination Group Conference Call</p> <p>Appendix J- REOC Action Plan</p> <p>Appendix K- Bay Area Emergency Public Information Network Guide</p> <p>In addition, the Plan has the following supporting RECP subsidiary Plans for specific disciplines and operational activities:</p> <ul style="list-style-type: none"> • Care and Shelter; • Communications; • Fire and Rescue; • Hazardous Materials; • Law Enforcement and Coroner/Medical Examiner; • Logistics; 		

Document Title	Document Contents	Developed/Reflected in Document	Comments
	<ul style="list-style-type: none"> • Medical and Health; • Short-Term Recovery; • Transportation. 		
Solano County Emergency Operations Plan (EOP)	<p>Section i- Emergency Operations Plan (Introduction, Emergency Operations Plan, Recovery Operations)</p> <p>Section II – Emergency Operations Center (EOC) (Operational Area EOCs, Operational Area EOC Management Organization, EOC Function Checklists)</p> <p>Section III- EOP Annexes (Solano County Terrorism Annex, Emergency Care and Shelter Operations, Mental Health Annex, Animal Care and Control Annex, Continuity of Government, Continuity of Government Operations (COG/OPS), Public Information Annex</p> <p>Section Iv- Authorities and References, including Action Planning Guide, Local Emergency Proclamation Guide, Local Emergency Proclamation Examples, Glossary, Emergency</p>	<p>This is a “traditional” EOP oriented toward Emergency Operation Center (EOC) functions. “Delta” is not mentioned in this plan, based upon a “word” search. Note: This is a large plan (391 pages)</p>	<p>The Solano County Plan is similar to the Contra Costa Plan. Solano County could develop a Delta specific plan, could develop Delta specific annexes addressing societal issues, or could be part of the larger Regional Framework development process for societal issues.</p>

Document Title	Document Contents	Developed/Reflected in Document	Comments
	Plan Modifications, EOC Forms		

Attachment 7 – Emergency Operations Plan Processes & Elements

EMERGENCY PLANNING ELEMENTS¹	
Hazard analysis	The process by which hazards that threaten the community are identified, researched, and ranked according to the risks they pose and the areas and infrastructure that are vulnerable to damage from an event involving the hazards.
EOP development	Including the basic plan, functional annexes, hazard-specific appendices, and implementing instructions (for example, standard operating procedures, job aids, and checklists.)
Testing the plan	Providing training on the plan and its components and testing the plan through exercises of different types and varying complexity.
Plan maintenance and revision	Revising the EOP, based on lessons learned from exercises or actual events and on current needs and resources.
EMERGENCY OPERATIONS PLANS (EOP)	
COMPONENT	DESCRIPTION
Letter of promulgation	Affirms support for the emergency management agency and planning process and gives organizations the authority and responsibility to perform their tasks
Purpose and scope	A broad statement of what the EOP is meant to do and what entities/situations are covered by the plan
Authorities	Listing of legal basis for emergency operations and activities
Planning assumptions and considerations	Characterizes the planning environment, making clear why emergency operations planning is necessary and delineates what was assumed to be true when the EOP was developed
Hazard analysis and threats	Overview of hazards addressed by the plan; relative probability and impact; areas likely to be affected; vulnerable critical facilities; population distribution; special populations; interjurisdictional relationships; maps
Concept of operations	Explains the overall approach to emergency response and recovery including the organizational structure and use of SEMS and NIMS.
Roles and responsibilities	Lists the general areas of responsibility assigned by organization and position; identifies shared responsibilities and specifies which organization has primary responsibility and which have supportive roles.
Plan development and maintenance	Describes the planning process; identifies the planning participants; assigns planning responsibilities; describes the revision cycle
Functional annexes (see detail below)	Addresses the performance of a particular broad task or function, such as mass care and shelter or communications
Hazard-specific appendices	Provides additional information about how to carry out a function in the face of a specific hazard
FEDERAL EMERGENCY SUPPORT FUNCTIONS²	

¹ “Emergency Planning Elements” and “Emergency Operations Plans” sections are based on information in FEMA’s Independent Study Course – IS-235 - Emergency Planning (February 2006)

² Excerpt from FEMA’s Independent Study Course - IS-800.B National Response Framework, An Introduction (February 2008)

FUNCTION	SCOPE
#1 – Transportation	Aviation/airspace management and control Transportation safety Restoration/recovery of transportation infrastructure Movement restrictions Damage and impact assessment
#2 – Communications	Coordination with telecommunications and information technology industries Restoration and repair of telecommunications infrastructure Protection, restoration, and sustainment of national cyber and information technology resources Oversight of communications within the Federal incident management and response structures
#3 – Public Works and Engineering	Infrastructure protection and emergency repair Infrastructure restoration Engineering services and construction management Emergency contracting support for life-saving and life-sustaining services
#4 – Firefighting	Coordination of Federal firefighting activities Support to wildland, rural, and urban firefighting operations
#5 – Emergency Management	Coordination of incident management and response efforts Issuance of mission assignments Resource and human capital Incident action planning Financial management
#6 – Mass Care, Emergency Assistance, Housing, and Human Services	Mass care Emergency assistance Disaster housing Human services
#7 – Logistics Management and Resource Support	Comprehensive, national incident logistics planning, management, and sustainment capability Resource support (facility space, office equipment and supplies, contracting services, etc.)
#8 – Public Health and Medical Services	Public health Medical Mental health services Mass fatality management
#9 – Search and Rescue	Life-saving assistance Search and rescue operations
#10 – Oil and Hazardous Materials Response	Oil and hazardous materials (chemical, biological, radiological, etc.) response Environmental short- and long-term cleanup
#11 – Agriculture and Natural Resources	Nutrition assistance Animal and plant disease and pest response Food safety and security Natural and cultural resources and historic properties protection and restoration Safety and well-being of household pets
#12 – Energy	Energy infrastructure assessment, repair, and restoration

	Energy industry utilities coordination Energy forecast
#13 – Public Safety and Security	Facility and resource security Security planning and technical resource assistance Public safety and security support Support to access, traffic, and crowd control
#14 – Long-Term Community Recovery	Social and economic community impact assessment Long-term community recovery assistance to States, local governments, and the private sector Analysis and review of mitigation program implementation
#15 – External Affairs	Emergency public information and protective action guidance Media and community relations Congressional and international affairs Tribal and insular affairs

Attachment 8 – Conditions of Feasibility for a Stakeholder Process

Collaborative stakeholder processes typically involve a broad cross section of participants working together in structured, facilitated sessions. Different from parties in adversarial negotiations, collaborative stakeholders seek to achieve their self-interests through mutual gain. More specifically, collaborative participants commit at the onset of a process to:

- Be fully dedicated to achieving their self-interests, and
- To achieve their self-interest in a manner that is supportive of, or at least not detrimental to, other participants' self-interests.

This is a substantially different approach to multi-party problem solving than traditional discussions, negotiations, and “top down” project implementation. Also different from traditional public input or outreach, collaborative stakeholder processes use structured negotiations to define interests and options, rather than relying entirely on agency hearings or community gatherings to distinguish alternate views.

As background, CCP has identified ten basic elements necessary to start and conduct successful collaborative stakeholder processes. Termed “conditions of feasibility,” they are:

General Conditions: General conditions relate to the “big picture” issues. These are the unique aspects of the study area and/or participants that are not covered in the following nine conditions.

Parties are Identifiable: Collaborative processes require the “full system in the room.” This means that those parties with a stake in the outcome of a collaborative need to be identified and, if not present, at least continuously considered.

Parties Will Participate: Participation can take many forms but at some point, all parties with a stake in the outcome must be involved with the process. Otherwise, the conclusions / recommendations from the stakeholder group are weakened or invalidated.

Parties Can Provide a Legitimate Spokesperson(s): The spokesperson needs to be recognized as a true representative. The spokespersons must have systems in place, or be able to support the implementation of systems, to authentically communicate with their constituents/organization.

Relative Balance of Influence Among the Parties: Some balance of influence is required to move forward in a collaborative process. To remain engaged, the parties need some

assurance there is something to be gained by participating, that they will be able to influence the outcome, and that no other participant has primacy over the process.

Parties Anticipate Future Dealings with Each Other: One incentive for collaboration is an expectation of long-term relationships and future interactions. A collaborative offers an ability to forge improved relationships that extend beyond the immediate presenting issues.

No Party has an Assurance of a Much Better Outcome in a Different Venue: A collaborative process cannot guarantee a better outcome for all parties. Even so, stakeholders need assurances that the process offers the best options for generating durable and sustainable solutions.

Parties Identify External Pressures to Reach Agreement: While most parties enter a collaborative process with genuine intentions to reach closure, many learn that choices may not always be easy. They also find that much is involved in advocating solutions to other stakeholders not at the table. In these situations, external pressures to reach agreement are often essential.

Parties Have Shared Expectation of Cost and Duration: Collaborative processes are often labor, resource and time intensive. Developing science and background materials suitable for stakeholders is a large undertaking. Without appropriate resources and funding, a collaborative effort can fail. Participants also need to have shared expectations of process duration.

Parties Have Mutually Compatible Goals for Outcomes: Successful multi-party negotiations do not rely on all participants having identical goals. The goals must be compatible though, and ideally mutually beneficial.